

## Electronic Acknowledgement Receipt

<b>EFS ID:</b>	9438261
<b>Application Number:</b>	10627626
<b>International Application Number:</b>	
<b>Confirmation Number:</b>	4309
<b>Title of Invention:</b>	Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis
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<b>Filer:</b>	Brian S. Mudge
<b>Filer Authorized By:</b>	
<b>Attorney Docket Number:</b>	10392/460043
<b>Receipt Date:</b>	14-FEB-2011
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<b>Application Type:</b>	Utility under 35 USC 111(a)

### Payment information:

Submitted with Payment

no

### File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1		10392-460043PrelimAmend.pdf	264140 <small>2013c98bc149126ed4d568701ef15d18c017</small>	yes	8

Multipart Description/PDF files in .zip description				
Document Description		Start	End	
Supplemental Response or Supplemental Amendment		1	1	
Claims		2	5	
Applicant Arguments/Remarks Made in an Amendment		6	8	

**Warnings:**

**Information:**

<b>Total Files Size (in bytes):</b>	264140
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.